

Frederick J. Van Winkle

Notice of Intent to Invoke Administrative Sanctions Emergency Cease and Desist Order

Date: June 23, 2004

Respondents: Frederick J. Van Winkle of Grain Valley, Missouri

Allegations: Securities fraud, unregistered broker-dealer or agent and unregistered securities

Notice of Intent to Invoke Administrative Sanctions and Emergency Cease and Desist Order issued to Van Winkle alleged that on or about May 30, 2004, Van Winkle offered an investment opportunity to Kansas residents in the *Kansas City Star* newspaper. The investment contract offered an 18% return for a \$25,000 investment to cover purchasing costs for used vehicles to be resold at auction. The Commissioner further alleged that neither the investment nor Van Winkle were properly registered with the Office of the Kansas Securities Commissioner. Mr. Van Winkle was ordered to Cease and Desist from further violations.

Notice to Investors: If you are not a resident of Kansas and have been affected by actions that are similar to those described in this synopsis, you should consider contacting your state securities regulator for assistance. To locate your securities regulator, go to the [North American Securities Administrators Association](#) website. If you choose to contact your state securities regulator, please inform him or her of the action taken by the State of Kansas.